

12-17-01

Attorney Docket P2830P1C44  
PATENT

Please type a plus sign (+) inside this box ☐

12/12/01  
JC678 U.S. PTO

EV: 016 017 508 US Express Mail Number

December 11, 2001: Date of Deposit

JC903 U.S. PTO  
10/015388  
12/12/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION  
Assistant Commissioner of Patents  
Washington, D.C. 20231

**NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)**

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

Kevin P. Baker, Darnestown, MD  
David Botstein, Belmont, CA  
Luc Desnoyers, San Francisco, CA  
Dan L. Eaton, San Rafael, CA  
Napoleone Ferrara, San Francisco, CA  
Sherman Fong, Alameda, CA  
Wei-Qiang Gao, Palo Alto, CA  
Audrey Goddard, San Francisco, CA  
Paul J. Godowski, Hillsborough, CA  
J. Christopher Grimaldi, San Francisco, CA  
Austin L. Gurney, Belmont, CA  
Kenneth J. Hillan, San Francisco, CA  
James Pan, Belmont, CA  
Nicholas F. Paoni, Belmont, CA  
Margaret Ann Roy, San Francisco, CA  
Victoria Smith, Burlingame, CA  
Timothy A. Stewart, San Francisco, CA  
Daniel Tumas, Orinda, CA  
Colin K. Watanabe, Moraga, CA  
P. Mickey Williams, Half Moon Bay, CA  
William I. Wood, Hillsborough, CA

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS  
ENCODING THE SAME

**1. Type of Application**

- [ ] This application is for an original, non-provisional application.
- [ ] This is a non-provisional application claiming priority to provisional application no. \_\_, filed

\_\_\_\_, the entire disclosure of which is hereby incorporated by reference.

- [X] This is a continuation application claiming priority under 35 USC §120 to US serial number 09/946,374 filed 9/4/01 which claims priority under 35 USC §120 to US serial numbers: 09/218517, filed 12/22/98, now abandoned; 09/284291, filed 4/12/99, now abandoned; 09/403297, filed 10/18/99, now abandoned; 09/872035, filed 6/1/01; 09/882636, filed 6/14/01; and which claims priority under 35 USC §120 to PCT international application numbers: PCT/US99/00106, filed 1/5/99, now abandoned; PCT/US99/20111, filed 9/1/99; PCT/US99/21194, filed 9/15/99; PCT/US99/28313, filed 11/30/99; PCT/US99/28551, filed 12/2/99; PCT/US99/30095, filed 12/16/99; PCT/US00/00219, filed 1/5/00; PCT/US00/00376, filed 1/6/00; PCT/US00/03565, filed 2/11/00; PCT/US00/04342, filed 2/18/00, now abandoned; PCT/US00/05004, filed 2/24/00; PCT/US00/05841, filed 3/2/00; PCT/US00/06884, filed 3/15/00; PCT/US00/13705, filed 5/17/00; PCT/US00/14042, filed 5/22/00; PCT/US00/14941, filed 5/30/00; PCT/US00/15264, filed 6/2/00, now abandoned; PCT/US00/23328, filed 8/24/00; PCT/US00/23522, filed 8/23/00; PCT/US00/30873, filed 11/10/00; PCT/US00/30952, filed 11/8/00; PCT/US00/32678, filed 12/1/00; PCT/US01/06520, filed 2/28/01; PCT/US01/06666, filed 3/1/01; PCT/US01/17800, filed 6/1/01; PCT/US01/19692, filed 6/20/01; PCT/US01/21066, filed 6/29/01; PCT/US01/21735, filed 7/9/01; and which claims priority under 35 USC § 119 to US provisional application numbers: 60/098716, filed 9/1/98; 60/098723, filed 9/1/98; 60/098749, filed 9/1/98; 60/098750, filed 9/1/98; 60/098803, filed 9/2/98; 60/098821, filed 9/2/98; 60/098843, filed 9/2/98; 60/099536, filed 9/9/98; 60/099596, filed 9/9/98; 60/099598, filed 9/9/98; 60/099602, filed 9/9/98; 60/099642, filed 9/9/98; 60/099741, filed 9/10/98; 60/099754, filed 9/10/98; 60/099763, filed 9/10/98; 60/099792, filed 9/10/98; 60/099808, filed 9/10/98; 60/099812, filed 9/10/98; 60/099815, filed 9/10/98; 60/099816, filed 9/10/98; 60/100385, filed 9/15/98; 60/100388, filed 9/15/98; 60/100390, filed 9/15/98; 60/100584, filed 9/16/98; 60/100627, filed 9/16/98; 60/100661, filed 9/16/98; 60/100662, filed 9/16/98; 60/100664, filed 9/16/98; 60/100683, filed 9/17/98; 60/100684, filed 9/17/98; 60/100710, filed 9/17/98; 60/100711, filed 9/17/98; 60/100848, filed 9/18/98; 60/100849, filed 9/18/98; 60/100919, filed 9/17/98; 60/100930, filed 9/17/98; 60/101014, filed 9/18/98; 60/101068, filed 9/18/98; 60/101071, filed 9/18/98; 60/101279, filed 9/22/98; 60/101471, filed 9/23/98; 60/101472, filed 9/23/98; 60/101474, filed 9/23/98; 60/101475, filed 9/23/98; 60/101476, filed 9/23/98; 60/101477, filed 9/23/98; 60/101479, filed 9/23/98; 60/101738, filed 9/24/98; 60/101741, filed 9/24/98; 60/101743, filed 9/24/98; 60/101915, filed 9/24/98; 60/101916, filed 9/24/98; 60/102207, filed 9/29/98; 60/102240, filed 9/29/98; 60/102307, filed 9/29/98; 60/102330, filed 9/29/98; 60/102331, filed 9/29/98; 60/102484, filed 9/30/98; 60/102487, filed 9/30/98; 60/102570, filed 9/30/98; 60/102571, filed 9/30/98; 60/102684, filed 10/1/98; 60/102687, filed 10/1/98; 60/102965, filed 10/2/98; 60/103258, filed 10/6/98; 60/103314, filed 10/7/98; 60/103315, filed 10/7/98; 60/103328, filed 10/7/98; 60/103395, filed 10/7/98; 60/103396, filed 10/7/98; 60/103401, filed 10/7/98; 60/103449, filed 10/6/98; 60/103633, filed 10/8/98; 60/103678, filed 10/8/98; 60/103679, filed 10/8/98; 60/103711, filed 10/8/98; 60/104257, filed 10/14/98; 60/104987, filed 10/20/98; 60/105000, filed 10/20/98; 60/105002, filed 10/20/98; 60/105104, filed 10/21/98; 60/105169, filed 10/22/98; 60/105266, filed 10/22/98; 60/105693, filed 10/26/98; 60/105694, filed 10/26/98; 60/105807, filed 10/27/98; 60/105881, filed 10/27/98; 60/105882, filed 10/27/98; 60/106023, filed 10/28/98; 60/106029, filed 10/28/98; 60/106030, filed 10/28/98; 60/106032, filed 10/28/98;

60/106033, filed 10/28/98; 60/106062, filed 10/27/98; 60/106178, filed 10/28/98; 60/106248, filed 10/29/98; 60/106384, filed 10/29/98; 60/108500, filed 10/29/98; 60/106464, filed 10/30/98; 60/106856, filed 11/3/98; 60/106902, filed 11/3/98; 60/106905, filed 11/3/98; 60/106919, filed 11/3/98; 60/106932, filed 11/3/98; 60/106934, filed 11/3/98; 60/107783, filed 11/10/98; 60/108775, filed 11/17/98; 60/108779, filed 11/17/98; 60/108787, filed 11/17/98; 60/108788, filed 11/17/98; 60/108801, filed 11/17/98; 60/108802, filed 11/17/98; 60/108806, filed 11/17/98; 60/108807, filed 11/17/98; 60/108848, filed 11/18/98; 60/108849, filed 11/18/98; 60/108850, filed 11/18/98; 60/108851, filed 11/18/98; 60/108852, filed 11/18/98; 60/108858, filed 11/18/98; 60/108867, filed 11/17/98; 60/108904, filed 11/18/98; 60/108925, filed 11/17/98; 60/113296, filed 12/22/98; 60/114223, filed 12/30/98; 60/129674, filed 4/16/99; 60/141037, filed 6/23/99; 60/144758, filed 7/20/99; 60/145698, filed 7/26/99; 60/162506, filed 10/29/99, the entire disclosures of which are hereby incorporated by reference.

**2. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Non-provisional )**

519 pages of specification  
7 pages of claims  
1 page(s) of abstract  
249 sheet(s) of drawings  
☒ formal    ☐ informal

### 3. Declaration or Oath

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)  
An executed declaration of the inventor(s) ☐ is enclosed ☐ will follow.

X (for Cont./Div. where inventorship is the same or inventor(s) being deleted)  
A copy of the executed declaration/oath filed in the prior application is enclosed (37 CFR 1.63(d)).

\_\_\_\_ A signed statement is attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b)).

#### 4. Assignment

\_\_\_\_ (for new and CIP applications)  
An Assignment of the invention to GENENTECH, INC. [] is enclosed with  
attached Recordation Form Cover Sheet [] will follow.

(for cont./div.)

X The prior application is assigned of record to Genentech, Inc.

**5. Amendments (for continuation and divisional applications)**

\_\_\_\_\_ Cancel in this application original claims \_\_\_\_ of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

X A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

## 6. Fee Calculation (37 CFR 1.16)

The fee has been calculated as follows:

CLAIMS FOR FEE CALCULATION					
Number Filed		Number Extra		Rate	Basic Fee 37 CFR 1.16(a)
					\$710.00
Total Claims	20	- 20 =	0	X \$18.00	\$0.00
Independent Claims	3	- 3 =	0	X \$80.00	\$0.00
— Multiple dependent claim(s), if any				+ \$270.00	\$0.00
<b>Filing Fee Calculation</b>					<b>\$710.00</b>

## 7. Method of Payment of Fees

The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$710.00. **A duplicate copy of this transmittal is enclosed.**

### 8. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

**9. Additional Papers Enclosed**

☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations

[X] Submission of electronic and paper copy of Sequence Listing. I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

[X] Other: Post card.

**10. Maintenance of Copendency of Prior Application (for continuation and divisional applications)**  
*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

- \_\_\_\_\_ A petition, fee and/or response has been filed to extend the term in the pending prior application until \_\_\_\_\_  
\_\_\_\_\_ A copy of the petition for extension of time in the **prior** application is attached.

**11. Correspondence Address:**

X Address all future communications to:

Ginger R. Dreger  
Registration No. 33,055 - CUSTOMER NO. 30,313  
Knobbe Martens Olson & Bear  
201 California Street, Suite 1150  
San Francisco, CA 94111  
Telephone: (415) 217-8381

Respectfully submitted,  
GENENTECH, INC.

Date: December 11, 2001

By: Elizabeth M. Barnes  
Elizabeth M. Barnes, Ph.D.  
Reg. No. 35,059  
Telephone No. (650) 225-4563



09157

PATENT TRADEMARK OFFICE